Federal Communications Commission

FREEDOM OF INFORMATION ACT

ANNUAL REPORT

Fiscal Year 2018

(October 1, 2017 - September 30, 2018)

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I. BASIC INFORMATION REGARDING REPORT

1. Name, title, address, and telephone number of person(s) to be contacted with questions about this Report:

Vanessa Lamb
Acting Associate Managing Director
Office of Managing Director
Performance Evaluation and Records Management
445-12th Street, SW, Room 1-A838
Washington, DC 20554

Telephone Number: (202) 418-7044

Email: Vanessa.Lamb@fcc.gov

Stephanie Kost
FOIA Public Liaison
Office of Managing Director
Performance Evaluation and Records Management
445-12th Street, SW, Room 1-A827
Washington, DC 20554

Telephone Number: (202) 418-0440 Email: Stephanie.Kost@fcc.gov

2. Link to the Report at FCC's website:

https://www.fcc.gov/general/foia-reports

3. **Obtaining a paper copy of the Report:**

Copies of the Annual Report can be requested by emailing Benish.Shah@fcc.gov. Paper copies will be mailed to the requester.

II. HOW TO FILE A FOIA REQUEST

1. FOIA requests should be submitted via FOIAonline at:

https://foiaonline.gov/foiaonline/action/public/home

2. You may mail the request to the Office of Managing Director; Attention: FOIA Public Liaison, Federal Communications Commission, 445-12th Street, SW, Room 1-A836, Washington, DC 20554.

Administrative Appeals must be submitted to Thomas M. Johnson, Jr. FOIA Officer, Office of General Counsel, Room 8-C750, Federal Communications Commission, 445-12th Street, SW, Washington, DC 20554. The application for review and the envelope containing it should be captioned "Review of Freedom of Information Action." A copy must also be served on the person (if any) who originally submitted the materials at issue in the FOIA request to the Commission. Appeals can also be filed electronically at FOIA-Appeal@fcc.gov.

3. Brief description of why some requests are not granted and an overview of certain general categories of the agency's records to which the FOIA exemptions apply.

Requests that are denied or partially denied usually fall under Exemptions 4, 5, 6 and 7. The type of information most often withheld involves materials that are related solely to trade secrets and other confidential business information (exemption 4), inter-agency or intra-agency communications that are protected by legal privileges (exemption 5); information deemed an unwarranted invasion of personal privacy (Exemption 6); and law enforcement-related records (Exemption 7).

III. ACRONYMS, DEFINITIONS, AND EXEMPTIONS

1. Agency-specific acronyms used in this Report:

FCC – Federal Communications Commission

AFR - Application for Review

FOIA – Freedom of Information Act

2. Terms used throughout this Report:

- a. **Administrative Appeal** a request to a federal agency asking that it review at a higher administrative level a FOIA determination made by the agency at the initial request level.
- b. **Average Number** the number obtained by dividing the sum of a group of numbers by the quantity of numbers in the group. For example, of 3, 7, and 14, the average number is 8.
- c. **Backlog** the number of requests or administrative appeals that are pending at an agency at the end of the fiscal year that are beyond the statutory time period for a response.

- d. Component for agencies that process requests on a decentralized basis, a "component" is an entity, also sometimes referred to as an Office, Division, Bureau, Center, or Directorate, within the agency that processes FOIA requests. The FOIA now requires that agencies include in their Annual FOIA Report data for both the agency overall and for each principal component of the agency.
- e. **Consultation** the procedure whereby the agency responding to a FOIA request first forwards a record to another agency for its review because that other agency has an interest in the document. Once the agency in receipt of the consultation finishes its review of the record, it responds back to the agency that forwarded it. That agency, in turn, will then respond to the FOIA requester.
- f. **Exemption 3 Statute** a federal statute that exempts information from disclosure and which the agency relies on to withhold information under subsection (b)(3) of the FOIA.
- **FOIA Request** a FOIA request is generally a request to a federal agency g. for access to records concerning another person (i.e., a "third-party" request), or concerning an organization, or a particular topic of interest. FOIA requests also include requests made by requesters seeking records concerning themselves (i.e., "first-party" requests) when those requesters are not subject to the Privacy Act, such as non-U.S. citizens. Moreover, because all first-party requesters should be afforded the benefit of both the access provisions of the FOIA as well as those of the Privacy Act, FOIA requests also include any first-party requests where an agency determines that it must search beyond its Privacy Act "systems of records" or where a Privacy Act exemption applies, and the agency looks to FOIA to afford the greatest possible access. All requests which require the agency to utilize the FOIA in responding to the requester are included in this Report. Additionally, a FOIA request includes records referred to the agency for processing and direct response to the requester. It does not, however, include records for which the agency has received a consultation from another agency. (Consultations are reported separately in Section XII of this Report.)
- h. **Full Grant** an agency decision to disclose all records in full in response to a FOIA request.
- i. Full Denial an agency decision not to release any records in response to a FOIA request because the records are exempt in their entireties under one or more of the FOIA exemptions, or because of a procedural reason, such as when no records could be located.

- j. **Median Number** the middle, not average, number. For example, of 3, 7, and 14, the median number is 7.
- k. **Multi-Track Processing** a system in which simple requests requiring relatively minimal review are placed in one processing track and more voluminous and complex requests are placed in one or more other tracks. Requests granted expedited processing are placed in yet another track. Requests in each track are processed on a first in/first out basis.
 - Expedited Processing an agency will process a FOIA request on an expedited basis when a requester satisfies the requirements for expedited processing as set forth in the statute and in agency regulations.
 - ii. Simple Request a FOIA request that an agency using multi-track processing places in its fastest (non-expedited) track based on the low volume and/or simplicity of the records requested.
 - iii. Complex Request a FOIA request that an agency using multi-track processing places in a slower track based on the high volume and/or complexity of the records requested.
- I. Partial Grant/Partial Denial in response to a FOIA request, an agency decision to disclose portions of the records and to withhold other portions that are exempt under the FOIA, or to otherwise deny a portion of the request for a procedural reason.
- m. Pending Request or Pending Administrative Appeal a request or administrative appeal for which an agency has not taken final action in all respects.
- n. **Perfected Request** a request for records which reasonably describes such records and is made in accordance with published rules stating the time, place, fees (if any) and procedures to be followed.
- Processed Request or Processed Administrative Appeal a request or administrative appeal for which an agency has taken final action in all respects.
- p. Range in Number of Days the lowest and highest number of days to process requests or administrative appeals.

q. **Time Limits** – the time period in the statute for an agency to respond to a FOIA request (ordinarily twenty working days from receipt of a perfected FOIA request).

3. **Descriptions of the nine FOIA exemptions:**

- a. **Exemption 1**: classified national defense and foreign relations information
- b. **Exemption 2**: internal agency rules and practices
- c. **Exemption 3**: information that is prohibited from disclosure by another federal law
- d. **Exemption 4**: trade secrets and other confidential business information
- e. **Exemption 5**: inter-agency or intra-agency communications that are protected by legal privileges
- f. **Exemption 6**: information involving matters of personal privacy
- g. **Exemption 7**: records or information compiled for law enforcement purposes, to the extent that the production of those records (A) could reasonably be expected to interfere with enforcement proceedings, (B) would deprive a person of a right to a fair trial or an impartial adjudication, (C) could reasonably be expected to constitute an unwarranted invasion of personal privacy, (D) could reasonably be expected to disclose the identity of a confidential source, (E) would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions, or (F) could reasonably be expected to endanger the life or physical safety of any individual
- h. **Exemption 8**: information relating to the supervision of financial institutions
- i. **Exemption 9**: geological information on wells

3. Agency Component Abbreviations

Component Abbreviation	Component Name
N/A	N/A

IV. EXEMPTION 3 STATUTES

Statute	Type of Information Withheld	Case Citation	Agency / Component	Number of Times Relied upon by Agency / Component	Total Number of Times Relied upon by Agency Overall
(Ethics in Government Act of	report pertaining to certain government employees	Meyerhoff v. EPA, 958 F.2d 1498, 1500-02 (9th Cir. 1992); Boyd v. Exec. Office for U.S. Attorneys, 161 F. Supp. 3d 1, 7 (D.D.C. 2015); Seife v. NIH, 874 F. Supp. 2d 248, 254 (S.D.N.Y. 2012).	FCC	1	1

V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS

Agency / Component	Number of Requests Pending as of Start of Fiscal Year	Number of Requests Received in Fiscal Year	Number of Requests Processed in Fiscal Year	Number of Requests Pending as of End of Fiscal Year
FCC	87	820	848	59
				0
AGENCY OVERALL	87	820	848	59

After reviewing its database, FCC adjusted the number of requests pending as of the start of the Fiscal Year.

V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS

		Full Grants /	Number of		Number of Full Denials Based on Reasons Other than Exemptions										
Agency / Component	Number of Full Grants			No Records	All Records Referred to Another Component or Agency	Request Withdrawn		not Reasonably	Improper FOIA Request for Other Reason	Agency	Duplicate Request	•	TOTAL		
FCC	122	367	28	135	0	92	41	23	4	17	19	0	848		
													0		
AGENCY OVERALL	122	367	28	135	0	92	41	23	4	17	19	0	848		

V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"

Agency / Component	Description of "Other" Reasons for Denials from Chart B(1)	Number of Times "Other" Reason Was Relied Upon	TOTAL
FCC	N/A	0	0
AGENCY OVERALL			0

V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED

Agency / Component	Ex. 1	Ex. 2	Ex. 3	Ex. 4	Ex. 5	Ex. 6	Ex. 7(A)	Ex. 7(B)	Ex. 7(C)	Ex. 7(D)	Ex. 7(E)	Ex. 7(F)	Ex. 8	Ex. 9
FCC	9	7	1	104	133	275	18	1	14	2	43	0	0	0
AGENCY OVERALL	9	7	1	104	133	275	18	1	14	2	43	0	0	0

VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEALS

Agency / Component	Number of Appeals Pending as of Start of Fiscal Year	Number of Appeals Received in Fiscal Year	Number of Appeals Processed in Fiscal Year	Number of Appeals Pending as of End of Fiscal Year
FCC	10	36	35	11
				0
AGENCY OVERALL	10	36	35	11

VI.B. DISPOSITION OF ADMINISTRATIVE APPEALS -- ALL PROCESSED APPEALS

Agency / Component	Number Affirmed on Appeal	Number Partially Affirmed & Partially Reversed/Remanded on Appeal	Number Completely Reversed/Remanded on Appeal	Number of Appeals Closed for Other Reasons	TOTAL
FCC	0	C	4	31	35
					0
AGENCY OVERALL	0	C	4	31	35

VI.C.(1). REASONS FOR DENIAL ON APPEAL -- NUMBER OF TIMES EXEMPTIONS APPLIED

Agency / Component	Ex. 1	Ex. 2	Ex. 3	Ex. 4	Ex. 5	Ex. 6	Ex. 7(A)	Ex. 7(B)	Ex. 7(C)	Ex. 7(D)	Ex. 7(E)	Ex. 7(F)	Ex. 8	Ex. 9
FCC	0	0	0	1	0	1	1	0	1	0	O	0	0	0
AGENCY OVERALL	0	0	0	1	0	1	1	0	1	0	0	0	0	0

VI.C.(2). REASONS FOR DENIAL ON APPEAL -- REASONS OTHER THAN EXEMPTIONS

Agency / Component	No Records	Records Referred at Initial Request Level	Request Withdrawn	Fee- Related Reason	Records not Reasonably Described	Improper Request for Other Reasons	Not Agency Record	Duplicate Request or Appeal	Litigation	Appeal Based Solely on Denial of Request for Expedited Processing	
FCC	О	0	16	1	1	9	0	3	0	1	0
AGENCY OVERALL	C	0	16	1	1	9	0	3	0	1	0

VI.C.(3). REASONS FOR DENIAL ON APPEAL -- "OTHER" REASONS

Agency / Component	Description of "Other" Reasons for Denial on Appeal from Chart C(2)	Number of Times "Other" Reason Was Relied Upon	TOTAL
FCC	N/A	0	0
AGENCY OVERALL			0

VI.C.(4). RESPONSE TIME FOR ADMINISTRATIVE APPEALS

Agency / Component	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
FCC	20.00	63.20	<1	784.00
AGENCY OVERALL	20.00	63.20	<1	784.00

VI.C.(5). TEN OLDEST PENDING ADMINISTRATIVE APPEALS

Agency / Component		10th Oldest Appeal	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Appeal
	Date of Appeal	2018-08-01	2018-07-10	2018-04-12	2018-02-26	2018-02-09	2017-10-31	2017-07-26	2017-01-24	2016-06-23	2016-03-18
FCC	Number of Days Pending	41	57	118	151	161	229	296	424	569	637
AGENCY	Date of Appeal	2018-08-01	2018-07-10	2018-04-12	2018-02-26	2018-02-09	2017-10-31	2017-07-26	2017-01-24	2016-06-23	2016-03-18
OVERALL	Number of Days Pending	41	57	118	151	161	229	296	424	569	637

VII.A. FOIA REQUESTS -- RESPONSE TIME FOR ALL PROCESSED PERFECTED REQUESTS

		SIM	PLE			COM	PLEX		EXF	PEDITED F	PROCESS	ING
Agency / Component	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
FCC	14	14.68	<1	60	57	79.44	18	501	30.5	62.53	1	281
AGENCY OVERALL	14	14.68	<1	60	57	79.44	18	501	30.5	62.53	1	281

VII.B. PROCESSED REQUESTS -- RESPONSE TIME FOR PERFECTED REQUESTS IN WHICH INFORMATION WAS GRANTED

	SIMPLE					COM	PLEX		EXPEDITED PROCESSING			
Agency / Component	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
FCC	17	17.79	<1	57	58	83.37	19	501	38	75.59	1	281
AGENCY OVERALL	17	17.79	<1	57	58	83.37	19	501	38	75.59	1	281

VII.C. PROCESSED SIMPLE REQUESTS -- RESPONSE TIME IN DAY INCREMENTS

Agency / Component	<1-20 Days	21-40 Days	41-60 Days	61-80 Days	81-100 Days	101-120 Days	121-140 Days	141-160 Days	161-180 Days	181-200 Days	201-300 Days	301-400 Days	401+ Days	TOTAL
FCC	447	123	14	0	0	0	0	0	0	0	0	0	0	584
														0
AGENCY OVERALL	447	123	14	0	0	0	0	0	0	0	0	0	0	584

VII.C. PROCESSED COMPLEX REQUESTS -- RESPONSE TIME IN DAY INCREMENTS

Agency / Component	<1-20 Days	21-40 Days	41-60 Days	61-80 Days	81-100 Days	101-120 Days	121-140 Days	141-160 Days	161-180 Days	181-200 Days	201-300 Days	301-400 Days	401+ Days	TOTAL
FCC	3	36	37	21	8	11	4	5	5	7	2	1	1	141
														0
AGENCY OVERALL	3	36	37	21	8	11	4	5	5	7	2	1	1	141

VII.C. PROCESSED REQUESTS GRANTED EXPEDITED PROCESSING -- RESPONSE TIME IN DAY INCREMENTS

Agency / Component	<1-20 Days	21-40 Days	41-60 Days	61-80 Days	81-100 Days	101-120 Days	121-140 Days	141-160 Days	161-180 Days	181-200 Days	201-300 Days	301-400 Days	401+ Days	TOTAL
FCC	42	14	10	6	0	3	3	3	2	6	7	0	0	96
														0
AGENCY OVERALL	42	14	10	6	0	3	3	3	2	6	7	0	0	96

VII.D. PENDING REQUESTS -- ALL PENDING PERFECTED REQUESTS

		SIMPLE			COMPLEX		EXPED	ITED PROCI	ESSING
Agency / Component	Number Pending	Median Number of Days	Average Number of Days	Number Pending	Median Number of Days	Average Number of Days	Number Pending	Median Number of Days	Average Number of Days
FCC	40	9.5	11.55	11	32	114.64	5	17	50.8
AGENCY OVERALL	40	9.5	11.55	11	32	114.64	5	17	50.8

VII.E. PENDING REQUESTS -- TEN OLDEST PENDING PERFECTED REQUESTS

Agency / Component		10th Oldest Request	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Request
	Date of Receipt	2018-07-18	2018-05-16	2018-05-04	2018-03-30	2017-12-21	2017-12-11	2017-08-10	2017-03-10	2017-02-14	2016-11-18
FCC	Number of Days Pending	51	94	102	127	194	202	285	392	409	486
AGENCY	Date of Receipt	2018-07-18	2018-05-16	2018-05-04	2018-03-30	2017-12-21	2017-12-11	2017-08-10	2017-03-10	2017-02-14	2016-11-18
OVERALL	Number of Days Pending	51	94	102	127	194	202	285	392	409	466

VIII.A. REQUESTS FOR EXPEDITED PROCESSING

Agency / Component	Number Granted		Median Number of Days to Adjudicate	Average Number of Days to Adjudicate	Number Adjudicated Within Ten Calendar Days
FCC	91	41	8	8.4	99
AGENCY OVERALL	91	41	8	8.4	99

VIII.B. REQUESTS FOR FEE WAIVER

Agency / Component	Number Granted		Median Number of Days to Adjudicate	Average Number of Days to Adjudicate
FCC	0	10	5.5	10.1
AGENCY OVERALL	0	10	5.5	10.1

IX. FOIA PERSONNEL AND COSTS

		PERSONNEL			COSTS	
Agency / Component	Number of "Full- Time FOIA Employees"	Number of "Equivalent Full- Time FOIA Employees"	Total Number of "Full-Time FOIA Staff"	Processing Costs	Litigation-Related Costs	Total Costs
FCC	6	9.88	15.88	\$3,434,703.76	\$133,934.04	\$3,568,637.80
			0			\$0.00
AGENCY OVERALL	6	9.88	15.88	\$3,434,703.76	\$133,934.04	\$3,568,637.80

X. FEES COLLECTED FOR PROCESSING REQUESTS

Agency / Component	Total Amount of Fees Collected	Percentage of Total Costs
FCC	\$6,021.08	0.18%
AGENCY OVERALL	\$6,021.08	0.18%

XI.A. NUMBER OF TIMES SUBSECTION (C) USED

Agency / Component	Number of Times Subsection Used
FCC	0
AGENCY OVERALL	0

XI.B. NUMBER OF SUBSECTION (A)(2) POSTINGS

Agency / Component	Number of Records Posted by the FOIA Office	Number of Records Posted by Program Offices
FCC	5	7,206,256
AGENCY OVERALL	5	7,206,256

XII.A. BACKLOGS OF FOIA REQUESTS AND ADMINISTRATIVE APPEALS

Agency / Component	Number of Backlogged Requests as of End of Fiscal Year	Number of Backlogged Appeals as of End of Fiscal Year
FCC	9	11
AGENCY OVERALL	9	11

XII.B. CONSULTATIONS ON FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING CONSULTATIONS

	Number of		Number of	Number of
	Consultations Received	Number of	Consultations Received	Consultations Received
Agency / Component	from Other Agencies	Consultations Received	from Other Agencies	from Other Agencies
Agency / Component	that were Pending at the	from Other Agencies	that were Processed by	that were <u>Pending</u> at the
	Agency as of Start	During the Fiscal Year	the Agency During the	Agency as of <u>End</u>
	of the Fiscal Year		Fiscal Year	of the Fiscal Year
FCC	0	2	2	0
				0
AGENCY OVERALL	0	2	2	0

XII.C. CONSULTATIONS ON FOIA REQUESTS -- TEN OLDEST CONSULTATIONS RECEIVED FROM OTHER AGENCIES AND PENDING AT THE AGENCY

Agency / Component		10th Oldest Consultation	utn i	8th	7th	6th	5th	4th	3rd	2nd	Oldest Consultation
	Date	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
FCC	Number of Days	0	0	0	0	0	0	0	0	0	0
AGENCY	Date	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
OVERALL	Number of Days	0	0	0	0	0	0	0	0	0	0

XII.D.(1). COMPARISON OF NUMBERS OF REQUESTS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- REQUESTS RECEIVED AND PROCESSED

	NUMBER OF REQ	UESTS <u>RECEIVED</u>	NUMBER OF REQUESTS PROCESSED		
Agency / Component	Number Received During Fiscal Year from Last Year's Annual Report	Number Received During Fiscal Year from Current Annual Report	Number Processed During Fiscal Year from Last Year's Annual Report	Number Processed During Fiscal Year from Current Annual Report	
FCC	902	820	867	848	
AGENCY OVERALL	902	820	867	848	

XII.D.(2). COMPARISON OF NUMBERS OF REQUESTS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- BACKLOGGED REQUESTS

Agency / Component	Number of Backlogged Requests as of End of the Fiscal Year from Previous Annual Report	Number of Backlogged Requests as of End of the Fiscal Year from Current Annual Report
FCC	15	9
AGENCY OVERALL	15	9

XII.E.(1). COMPARISON OF NUMBERS OF ADMINISTRATIVE APPEALS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- APPEALS RECEIVED AND PROCESSED

	NUMBER OF APP	PEALS <u>RECEIVED</u>	NUMBER OF APPEALS <u>PROCESSED</u>		
Agency / Component	Number Received During Fiscal Year from Last Year's Annual Report	Number Received During Fiscal Year from Current Annual Report	Number Processed During Fiscal Year from Last Year's Annual Report	Number Processed During Fiscal Year from Current Annual Report	
FCC	21	36	26	35	
AGENCY OVERALL	21	36	26	35	

XII.E.(2). COMPARISON OF NUMBERS OF ADMINISTRATIVE APPEALS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- BACKLOGGED APPEALS

Agency / Component	Number of Backlogged Appeals as of End of the Fiscal Year from Previous Annual Report	Number of Backlogged Appeals as of End of the Fiscal Year from Current Annual Report
FCC	8	11
AGENCY OVERALL	8	11